



Substitute Form PTO 1449

<b>INFORMATION DISCLOSURE STATEMENT</b>		Application No.	09/546,031
		Filing Date	April 10, 2000
		Inventor	Christopher Keith
		Group Art Unit	2768
		Examiner	TBA
Sheet 1 of 1		Atty. Docket No.	0505-4001

<b>U.S. PATENT DOCUMENTS</b>					
Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee	Publication Date MM-DD-YYYY
		Number	Kind Code		
CC	AA	6026383		Ausubel	02-15-2000
CC	AB	6021398		Ausubel	02-01-2000
CC	AC	6016483		Rickard	01-18-2000
CC	AD	6012046		Lupien	01-04-2000
CC	AE	5987435		Weiss	11-16-1999
CC	AF	5963923		Garber	10-05-1999
CC	AG	5850176		Keiser	09-07-1999
CC	AH	5946667		Tull, Jr.	08-31-1999
CC	AI	5941996		Smith	08-24-1999
CC	AJ	5924082		Silverman	07-13-1999
CC	AK	5826244		Huberman	10-20-1998
CC	AL	5806048		Kiron	09-08-1998

<b>FOREIGN PATENT DOCUMENTS</b>						
Examiner Initials	Cite No.	Foreign Patent Documents			Name of Patentee or Assignee	Publication Date MM-DD-YYYY
		Office	Number	Kind Code		
CC	BA					
CC	BB					

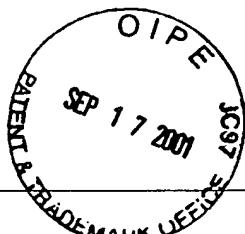
<b>OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS</b>					
Examiner Initials	Cite No.	AUTHOR, title, magazine, date, pages, publisher, city where published			Trsl. (✓)
	CA	"AuctionBot", 9 pages from <a href="http://auction.eecs.umich.edu">http://auction.eecs.umich.edu</a> , printed March 30, 2000			
	CB	MAES et al., "Agents that Buy and Sell: Transforming Commerce as we Know It", Comm. ACM, March 1999, vol. 42, no. 3			
	CC	WELLMAN et al., "Real Time Issues for Internet Auctions", First IEEE Workshop on Dependable and Real-Time E-Commerce Systems (DARE-98), Denver, CO, June 1998			
	CD	WURMAN et al., "Flexible Double Auctions for Electronic Commerce: Theory and Implementation", July 13, 1998, to appear in "Decision Support Systems"			

Examiner Signature	CC R. Keith	Date Considered	2/26/03
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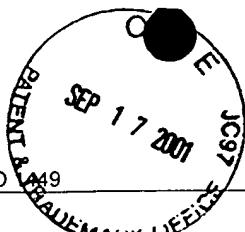
## INFORMATION DISCLOSURE STATEMENT

Sheet 2 of 2	Application No.	09/546,031
	Filing Date	April 10, 2000
	Inventor	Christopher Keith
	Group Art Unit	2768
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	Atty. Docket No.	0505-4001

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	AUTHOR, title, magazine, date, pages, publisher, city where published	Trsl. (\u221d)
CG	CA	"AuctionBot", 9 pages from <a href="http://auction.eecs.umich.edu">http://auction.eecs.umich.edu</a> , printed March 30, 2000	
CG	CB	MAES et al., "Agents that Buy and Sell: Transforming Commerce as we Know It", Comm. ACM, March 1999, vol. 42, no. 3	
CG	CC	WELLMAN et al., "Real Time Issues for Internet Auctions", First IEEE Workshop on Dependable and Real-Time E-Commerce Systems (DARE-98), Denver, CO, June 1998	
CG	CD	WURMAN et al., "Flexible Double Auctions for Electronic Commerce: Theory and Implementation", July 13, 1998, to appear in "Decision Support Systems"	
CG	CE	MERTZ et al., "The Handbook of Investment Technology," Chapters 7, 8, and 15	
CG	CF	KEYES, "Handbook of Technology Financial Services, Chapters 5, 36, 37, 40	
CG	CG	TEWELES et al, "The Stock Market," Chapters 8 and 23	
CG	CH	DALTON, "How the Stock Market Works," Chapters 5 and 7	
CG	CI	"PeCo-Mediator: finding partners via personal connections," IEEE Int. Conf. on Systems, Man and Cybernetics 1996, vol. 1:802-7 Abstract	
CG	CJ	PROPSION, "The Secret Matchmaker," BUSINESS2.COM, March 6, 2001, pp 90-93	
CG	CK	ARVEDLUND, "An Arranged Exchange," BUSINESS2.COM, February 6, 2001, pp 90-91	
CG	CL	CHANG, "New Age Bidding: Against Computers, Humans Usually Lose," New York Times, January 2, 2001, pages 1-3	
CG	CM	RIJNEN, "Trading Places," Alleycat News, pages 61-73, November 2000	
CG	CN	e-mail from lab_rat@listserv.redherring.com, dated February 8, 2001, Subject: LAB RAT: Smart technology trounces traders, pages 1-5	

Examiner Signature	CGRAHAM	Date Considered	2/26/03
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## U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee	Publication Date MM-DD-YYYY	Relevant text or Figs.
		Number	Kind Code			
CG	AA	6134535		Belzberg	10-17-2000	
CG	AB	6105005		Fuhrer	08-15-2000	
CG	AC	6092056		Tull, Jr. et al.	07-18-2000	
CG	AD	6035287		Stallaert et al.	03-07-2000	
CG	AE	6026383		Ausubel	02-15-2000	
CG	AF	6021398		Ausubel	02-01-2000	
CG	AG	6018722		Ray et al.	01-25-2000	
CG	AH	6016483		Rickard	01-18-2000	
CG	AI	6012046		Lupien	01-04-2000	
CG	AJ	5987435		Weiss	11-16-1999	
CG	AK	5978779		Stein et al.	11-02-1999	
CG	AL	5963923		Garber	10-05-1999	
CG	AM	5950177		Lupien et al.	09-07-1999	
CG	AN	5950176		Keiser	09-07-1999	
CG	AO	5946667		Tull, Jr.	08-31-1999	
CG	AP	5946666		Nevo et al.	08-31-1999	
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CG	AT	5826244		Huberman	10-20-1998	
CG	AU	5806048		Kiron	09-08-1998	

## FOREIGN PATENT DOCUMENTS

Examiner Signature	2/26/03 C. Graham	Date Considered	2/26/03
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